

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/159,442 09/24/98 NORRIS E T7029

020444 0222/1008

VAUGHN W NORTH NOT ASSIGNED

THORPE NORTH WESTERN

P O BOX 1219

SANDY UT 84091-1219

2743

DATE MAILED:

10/08/

NOTICE TO FILE MISSING PARTS OF APPLICATION

Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☐ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ small entity (statement filed) ☒ non-small entity is \$ 11030.91.

☒ 1. The statutory basic filing fee is:

- ☐ missing.
- ☐ insufficient.

Applicant must submit \$ 790 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. Additional claim fees of \$ 110, including any multiple dependent claim fees, are required.

\$ _____ for _____ independent claims over 3.

\$ 110 for 5 dependent claims over 20.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☐ is missing or unexecuted.
- ☐ does not cover the newly submitted items.
- ☐ does not identify the application to which it applies.
- ☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice **MUST** be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

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201 205 203



SECTION 4
#3

PATENT APPLICATION
Docket: T7029 CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

ELWOOD G. NORRIS and JAMES J. CROFT III

Serial No: 09/159,442

Filed: September 24, 1998

For: PARAMETRIC LOUDSPEAKER WITH ELECTRO-ACOUSTICAL ONE-STAGE DIAPHRAGM TRANSDUCER

**RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION**

Assistant Commissioner for Patents
BOX MISSING PARTS
Washington, D. C. 20231

Attention: Manager, Application Branch

Sir:

In response to the Notice to File Missing Parts of Application mailed **October 8, 1998**, please find enclosed herewith the following items for filing in the United States Patent and Trademark Office in connection with the above-identified patent application:

- 1) Declaration, Power of Attorney, and Petition executed by the inventors **ELWOOD G. NORRIS and JAMES J. CROFT III**;

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Assistant Commissioner for Patents, BOX MISSING PARTS, Washington, D.C. 20231, on Dec 7, 1998.

Respectfully submitted,

Vaughn W. North
Attorney for Applicant
Reg. No. 27,930

Assistant Commissioner for Patents
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(2) Declaration Claiming Small Entity Status for a Small Business Concern;

(3) A copy of the Notice to File Missing Parts of Application - Filing Date Granted;

(4) Assignment from inventors to **AMERICAN TECHNOLOGY CORPORATION** -along with Recordation Form Cover Sheet; and

(5) Check No. 5413 in the amount of \$530.00 to cover the filing particulars for the above-identified application.

These fees have been calculated as follows:

Basic filing fee for a Small Entity	=	\$ 380.00
Additional Claim Fee	=	\$ 45.00
Surcharge fee for a Small Entity	=	\$ 65.00
Assignment Recording Fee	=	\$ 40.00
TOTAL	=	\$ 530.00

Please debit any additional fees, or credit any over payment, to Deposit Account No. 20-0100.

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or to credit any overpayment to Deposit Account No. 20-0100.

X Any additional filing fees required under 37 C.F.R. § 1.16.

X Any patent application processing fees under 37 C.F.R. § 1.17.

The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 20-0100.

X Any patent application processing fees under 37 C.F.R. § 1.17.

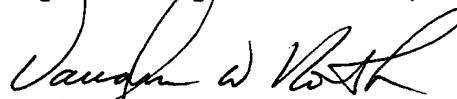
Assistant Commissioner for Patents
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- ____ The issue fee set in 37 C.F.R. § 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).
- X Any filing fees under 37 C.F.R. § 1.16 for presentation of extra claims.

Please address all future correspondence in connection with this case to the attention of the undersigned.

Dated this 7 day of Dec, 1998.

Respectfully submitted,



Vaughn W. North
Attorney for Applicant
Registration No. 27,930
CUSTOMER NO. 20444

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